



SHIRE OF DUNDAS

Draft RECORDKEEPING PLAN 2023

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Introduction

This document is presented to the State Records Commission in accordance with Section 19 of the Act, which requires each government organization to have a Recordkeeping Plan approved by the State Records Commission.

State Records Commission (SRC) Standard 1 – *Government Recordkeeping* requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – *Recordkeeping Plans* comprises six recordkeeping principles each of which contains minimum compliance requirements.

Purpose

The purpose of this Record Keeping Plan is to set out the matters about which records are to be created by the Shire of Dundas and how it is to keep its records. The Record Keeping Plan is to provide an accurate reflection of the recordkeeping program within the organisation, including information regarding the organisation's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Record Keeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice record keeping within the organization.

Objectives

The objectives of the Shire of Dundas RKP are to ensure:

- Compliance with Section 19 of the *State Records Act 2000*;
- Recordkeeping within the Local Government is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489;
- Processes are in place to facilitate the complete and accurate record of business transactions and decisions;
- Recorded information can be retrieved quickly, accurately and cheaply when required; and the
- Protection and preservation of the Local Government's records.

Scope

In accordance with Section 17 of the Act, the Shire of Dundas and all its employees are legally required to comply with the contents of this Plan.

This Recordkeeping Plan applies to all Shire of Dundas

- Employees;
- Contractors;

- Organisations performing outsourced services on behalf of the Shire of Dundas; and
- Elected Members.

NOTE:

The policy approach of the State Records Commission in monitoring the recordkeeping obligations in respect to Local Government elected members is:

“In relation to the recordkeeping requirements of local government elected members, records must be created and kept which properly and adequately record the performance of member functions arising from their participation in the decision-making processes of Council and Committees of Council.

This requirement should be met through the creation and retention of records of meetings of Council and Committees of Council of local government and other communications and transactions of elected members which constitute evidence affecting the accountability of the Council and the discharge of its business.

Local governments must ensure that appropriate practices are established to facilitate the ease of capture and management of elected members’ records up to and including the decision-making processes of Council.”

Local Governments are to address the management of elected members government records in accordance with this policy, in their Recordkeeping Plans.

This Recordkeeping Plan supersedes RKP 2006017 and applies to all records created or received by any of the above parties, regardless of:

- Physical format;
- Storage location; or
- Date created.

For the purposes of this RKP, a record is defined as meaning “any record of information however recorded” and includes:

- (a) anything on which there is writing or Braille;
- (b) a map, plan, diagram or graph;
- (c) a drawing, pictorial or graphic work, or photograph;
- (d) anything on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- (e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
- (f) anything on which information has been stored or recorded, either mechanically, magnetically, or electronically.” (*State Records Act, 2000*)

1 Principle One: Proper and Adequate Records

Government organisations ensure that records are created and kept which properly and adequately record the performance of the organisation's functions and which are consistent with any written law to which the organisation is subject when performing its functions.

1.1 Historical Background

The Shire of Dundas covers 92,725km² in the Southeast of WA. It borders the Southern Ocean, the Shires of Coolgardie, Esperance, Ravensthorpe, Kondinin, City of Kalgoorlie/Boulder and the WA/SA border. The principal town is Norseman, 723km from Perth, with Eucla, 12km from the State border, the other town in the Shire at 717km from Norseman.

The major industries are mining, pastoralism, tourism and fishing. The Shire has a semi-arid climate with annual rainfall of 300mm. Temperature ranges from high 30's to 40s in summer to between 5 & 15 in winter. Population is always fluctuating due to employment in the mining industry, but averages about 1800.

The history of Norseman and Dundas begins in the 1840's with the exploration of the South Coast by Edward John Eyre, the naming of the Dundas Hills in 1848 by JS Roe, and the crossing in 1871 of John Forrest from Western Australia into South Australia, which between 1871 and 1880, produced the establishment of sheep stations at Mundrabilla, Fraser Range and Balladonia.

Between 1876 and 1878 the construction of the Overland Telegraph (coastal), from Albany to Adelaide took place, and after its completion the Southern Area was linked with the rest of Australia.

In 1890 Mr Moir of Fanny's Creek found traces of alluvial gold whilst searching for new pastures in the Dundas Hills area; however, no further exploration took place until Moir returned in 1892, with a prospecting team. Unfortunately, no gold was found. During this time, other prospectors began to explore the area and in 1892 Messrs Mawson and Kirkpatrick discovered gold in the southern end of the Field and named it the "May Bell". Following the Messrs, Bromley, Mawson and Desjarlis, found a rich outcrop of ore, and named it "Great Dundas". In August 1893 the "Dundas Field" was finally proclaimed, and the townsite of Dundas was established, with the discovery of another two rich outcrops, which were registered under the one name of "Scotia".

In 1894 Laurie Sinclair, whilst prospecting about 14 miles north of Dundas, discovered a rich gold reef which he named "Norseman". This reef was registered by Sinclair and a man named Allsop on the 13th August 1894. Also registered in the same day was a reef called "Mt Barker" by Messrs, Ramsay, Talbot and Goodliffe.

During its first few years Norseman struggled to establish itself due to Dundas being the major township in the area, however due to the Norseman fields being richer than Dundas, it gradually outgrew the latter, and in 1895 was declared a town and in 1896 a Municipality.

The timeline of Local Government in the area is as follows:

1. Dundas Roads Board, 1895 – 1918
2. Norseman Municipality, 1896 – 1918
3. Norseman Roads Board, 1918 – 1929
4. Dundas Roads Board, 1929 – 1961
5. Shire of Dundas, 1961 – Present

The Shire of Dundas is a participant in the Goldfields Regional Organisation of Councils GVROC and as part of the structural reform process of local government an agreement has been signed in 2011 by the 9 Shires in the region to participate in resource sharing and for regional cooperation.

1.2 Strategic Focus and Main Business Activity

The Shire of Dundas is community sensitive to its overall needs which aims for a diversified and sustainable local economy capable of capitalising on its strategic geographical location and natural resources.

The mission of the Shire of Dundas is to provide effective leadership in consultation with our people in order to develop a viable community supported by a sustainable local economy that enhances existing services and resources.

1.3 Functions, including those outsourced

Refer to Appendix 1.

1.4 Major Stakeholders

The Shire of Dundas major stakeholders are:

- The Rate Payers and Residents of the Town sites of Norseman and Eucla, Eyre Highway Roadhouses and Pastoralists;
- Elected Members (6)
- Shire workforce (44 employees as of April 2023)
- Various industries including but not limited to Hospitality, Fabrication Services, Mining, Roadhouses and Pastoralists;
- Neighboring Local Government Entities.
- Goldfields Esperance Regional Organisation of Councils (GVROC)
- Goldfields Esperance Regional Collaborative Group (GERCG)

1.5 Enabling Legislation

The Shire of Dundas is established under the *Local Government Act 1995*.

1.6 Legislation and Regulations Administered by the Shire of Dundas

Refer to Appendix 2.

1.7 Other Legislation Affecting the Shire of Dundas

Refer to Appendix 3.

1.8 Major Government Policy and/or Industry Standards

Refer to Appendix 4.

2 Principle Two: Policies and Procedures

Government organisations ensure that recordkeeping programs are supported by policy and procedures.

2.1 Records Management Systems

The Shire of Dundas record management system is as follows

- the system is electronic through the Shire IMS Synergy
- records are kept in a hybrid system – electronic and paper
- the system was implemented in 2006

2.2 Records Management Policy and Procedures

The creation and management of hard copy records is coordinated by the CEO and Records Officer and carried out by all administration staff. The creation and management of electronic records, including electronic mail are carried out by all administration staff.

For the recordkeeping policy and procedures of the Shire of Dundas please refer to Appendix 5.

Table 2.1

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Dundas Policies and Procedures	YES	NO
Correspondence capture and control – including incoming and outgoing mail registration; responsibilities assigned for classifying, indexing and registration; file titling and file numbering conventions. Include specific provisions for capture and control of Elected Members' correspondence.	✓	
Digitization – including categories of records digitized; disposal of source records; digitization specifications		✓
Mail distribution – including frequency, tracking mechanisms and security measures.	✓	
File creation and closure – including assigned responsibility and procedures for both physical and automated file creation.	✓	
Access to corporate records – procedures for access to and security of corporate records.	✓	
Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO) – any assigned responsibilities.	✓	
Electronic records management – including the organisation's approach and methodology for the capture and management of its electronic records (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc).	✓	
Email management – including the capture, retention and authorised disposal of email messages to ensure accountability Should indicate whether the organisation is utilising a document management system or hard copy records system (e.g. print and file, identification of the official record, use of EDRMS, hybrid system etc).	✓	
Website management – i) Including guidelines to determine which is the complete and accurate record, particularly in regard to the purpose of the site (e.g. whether informational/transactional). ii) Responsibility for the website and strategies implemented for the management of the website over time, including capture of periodic snapshots of the site and mechanisms for recording website amendments.	✓	
Metadata management – including authority for the capture and control of metadata.	✓	
System/s management – including any delegations of authority for the control and security of systems utilised by the organisation (e.g. provision of access to systems through individual logins and passwords, protection of servers etc).	✓	

Recordkeeping Activities for the management of hard copy records and covered in the Shire of Dundas Policies and Procedures	YES	NO
Migration strategy – strategies planned or in place for migrating electronic records (e.g. through upgrades in hardware and software applications, and any assigned responsibilities) for long-term retention and access. <i>See Public Records Policy: 8 – Policy for the ongoing management of electronic records designated as having archival value.</i>	✓	

2.3 Certification of Policies and Procedures

Evidence of formal authorisation that the policies and procedures are in place and promulgated throughout the Shire of Dundas is provided by the copy of the certification document signed by the CEO Pease refer to Appendix 5.

2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the Shire of Dundas cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the Shire of Dundas.

3 Principle Three: Language Control

Government organisations ensure that appropriate controls are in place to identify and name government records.

3.1 Keyword for Councils Thesaurus Implemented

Yes. Keyword for Council is implemented within the Shire of Dundas. License purchased 2016

3.2 Thesaurus (other than Keyword for Councils) Implemented

N/A

3.3 File Plan / List of Subject Headings / List of Authorised Headings

The Shire of Dundas has developed a list of Assessment Files for Reserves and Properties.

3.4 Assessment of its Effectiveness

Implementation of Keywords for Council within our EDMRS and Shire network has allowed the titling and naming of items to be more streamlined and use by all staff allows for information to be filed and found without difficulty. This thesaurus allows fluidity with changes within the Shire without the ability to alter Keywords and activities.

3.5 Identified Areas for Improvement

The Shire of Dundas has identified that registration policies and procedures need to be frequently reinforced to ensure education is upheld and the Shire is continually working toward our Recordkeeping goals.

4 Principle Four: Preservation

Government organisations ensure that records are protected and preserved

4.1 Assessment of the Risks

4.1.1 On Site Storage

The Shire of Dundas has its current and active records located in onsite storage at 88 – 92 Prinsep Street Norseman at its Administration building. The storage facility includes:

- 12.25m² fire resistant record keeping room
- Metal shelving and compactus
- Fire retardant safe,
- Secure premises,
- Air-conditioning for [24 hours per day].

The storage facility is protected by 24hr monitored security alarms, fire hose reels and fire suppressants/extinguishers located throughout the building

The main disaster threatening records stored onsite comes from fire, leading to water damage, and with recent seismic events, Earthquakes..With the storage conditions as described the risk is assessed as *low*.

4.1.2 Offsite Storage

The Shire of Dundas has three Offsite Storage areas.

Non-current and inactive records are located in an offsite storage facility at the Shire's Works Depot located on Mildura Street Norseman. The offsite records storage area is approximately 12.4m².The Depot is secured along the perimeter with high fences. Access to this storage facility

is shared with the Depot Staff and the Administration Staff. This storage facility is constructed of a metal frame clad on the outside by metal sheeting and inside by gyprock. No extra fireproofing has been carried out. There is fixed metal shelving inside. This facility is a non-air-conditioned and has restricted access. The storage facility has fire suppressant/ extinguishers located in close proximity. The main disaster threatening records stored at the offsite records storage facility comes from fire / flood / vermin or pests. The offsite storage conditions as described the risk is assessed as low. The records in this facility are currently being inspected, sentenced and authorized for destruction.

Financial records, terminated Employee files and back up tapes are currently stored in Perth at the Zirco DATA facility. GRS is 24hr CCTV monitored, has restricted access and fire suppressant/extinguishers located on site. The site is non-airconditioned and has fixed metal shelving inside. The main disaster threatening records stored at the offsite records storage facility comes from fire / flood / vermin or pests. The offsite storage conditions as described the risk is assessed as low.

4.1.3 Storage of Archives

The Shire has approximately 2 m² archival records located ArchiveWise storage facility located in Bassendean. These records include hard copy Rates Books, Dundas Shire Council Minutes and Dundas Road Board Minutes. ArchiveWise is accredited to AS/NZS ISO 9001:2008 and is secured with 24hr surveillance, restricted access and smoke/thermal detectors. Records are kept in a temperature controlled environment and site visits by staff are conducted. The main disaster threatening records stored here comes from fire. The offsite storage conditions as described the risk is assessed as low.

4.1.4 Storage of Backups

Shire of Dundas backs up three (3) Servers. Each server is backed up to the local NAS storage device at midnight every 24 hours. Additionally, an offline copy of these backup is stored online using COVA Data protection cloud backups. The retention period for the backup data is 28 days, before being overwritten by the next most recent backup data.

4.1.6 Security and Access

Records are kept secure in the Shire of Dundas Administration Office in the records keeping room with vital information being kept in a fire resistant safe.

4.2 Assessment of the Impacts of Disasters

The following table details the major risks affecting the Shires Record Keeping System. The chance of the disaster occurring has been estimated in terms of low, moderate or high likelihood. The consequence refers to the level of severity of the disaster should it occur, in terms of how many

records could be lost as a result of the disaster, ranging from A (all records lost) to D (few records lost).

Risk Analysis

Risk	Description	Likelihood	Consequence
Fire & Smoke	Significant fire or smoke damage to the Administration Centre	Low	B – Many Lost
Water Damage	Water damage to paper records due to storms or flooding	Low	C – Some Lost
Malicious Destruction	Deliberate damage or destruction of computer hardware or paper files	Low	B – Many Lost
Terrorist Acts	Destruction of the Administration Centre due to terrorist bombing or other acts	Low	A – Many Lost
Vermin & Insects	Destruction of paper records by vermin or insect infestations	Low	D - Few Lost
Poor Storage Conditions	Loss of records due to poor record housings or storage conditions	Low	D – Few Lost
Computer Failure	Failure or corruption of computer hardware or software components	Moderate	D – Few Lost
Loss of Staff	Loss of key staff with knowledge of record keeping systems and processes	Moderate	D – Few Lost
Power Loss	Loss of power to the Administration Centre, preventing access to records	Moderate	D – Few Lost
Accidental Destruction	Accidental loss or disposal of paper records or deletion of electronic records	Low	D – Few Lost

The risk of a disaster occurring to the records of the Shire of Dundas has been assessed overall as being low. The overall impact of a disaster on the organisation’s records has therefore been assessed as low.

There are sufficient strategies in place to ensure that business activities of the organisation will not be unduly affected in the event of the more likely disaster occurring.

To minimize the impact of a disaster the Shire of Dundas has adopted a Recordkeeping Policy, a Procedures Manual and a Records Disaster Recovery Plan. The Records Disaster Recovery Plan is attached as Appendix 6.

4.3 Strategies in Place for Prevention and Response

The following strategies have been implemented by the Shire of Dundas in order to reduce the risk of disaster and for quick response should a disaster occur:

4.3.1 Vital Records Program

How to deal with vital records is included in the Record Keeping Procedures Manual.

Items that have been identified as vital records are as follows:

- Minutes from Council Meetings
- Certificates of Titles for Council owned properties
- Vesting Orders
- Lease Agreements
- Contract Agreements
- Daily Backup Tapes
- Cemetery Register
- Rates Books

Vital Records in hard copy are located in various locations including offsite storage facility. Vital records that are kept on site are stored in a locked, fire retardant safe, which is only accessible the Information and Technology Officer, Senior Administration Officer, and Payroll Officer, and in a fire-resistant room which is accessible to all administration staff.

4.3.2 Back-up Procedures for Electronic Records

Shire of Dundas backs up three (3) Servers. Each server is backed up to the local NAS storage device at midnight every 24 hours. Additionally, an offline copy of these backup is stored online using COVA Data protection cloud backups. The retention period for the backup data is 28 days, before being overwritten by the next most recent backup data.

4.3.3 Security

The following security measures are in place at the Shire of Dundas to ensure the security of its records, both hard copy and electronic and authorised access to them:

- Hard copy records are stored in a secure room accessible to all administration staff.
- A monitored security system is installed.
- Electronic records are backed up 24hour schedule as described previously.
- Confidential hard copy records are stored in a locked safe and locked cabinet accessible only to the CEO, Manager of Corporate and Community Services and restricted access to the Manager of Works and Services and the Information and Technology Officer.
- Confidential employee records are kept in a locked cabinet accessible only to the CEO, Manager of Corporate and Community Services, Senior Administrator Officer, Payroll Officer and Information and Technology Officer.

4.3.4 Storage Reviews

The storage facilities utilised by the Shire of Dundas are reviewed on an annual basis to ensure that conditions are appropriate for the organisation's records.

The current storage facilities are considered adequate and appropriate for records that are stored there.

4.3.5 Recovery of Lost Information

The Shire of Dundas has developed a set of quick response strategies to recover lost information, in all formats, should a disaster occur.

- The Shire has a duplicate copy of vital hard copy records
- The Shire backs up electronic records on a daily and monthly basis.
- The Shire has a reserve account to replace its electronic storage hardware

4.4 Identified Areas for Improvement

The Shire of Dundas continues to work on digitizing vital records and has transferred much of the records to protect the information in case of disaster.

5 Principle Five: Retention and Disposal

Government organisations ensure that records are retained and disposed of in accordance with an approved disposal authority.

5.1 General Disposal Authority for Local Government Records

The Shire of Dundas uses the General Disposal Authority for Local Government Records, produced by the State Records Office, for the retention and disposal of its records.

5.1.1 Disposal of Source Records

No Source Records have been disposed of recently.

5.2 Existing Ad Hoc Disposal Authorities

N/A

5.3 Existing Disposal Lists

All current disposal lists are completed on Authorise for Disposal template using current GDA for sentencing. All disposal lists are registered with corresponding Destruction Certificates.

5.4 Restricted Access Archives

The Shire of Dundas does not have any State archives to which it intends to restrict access when they are transferred to the SRO.

5.5 Archives not transferred to the SRO

The Shire of Dundas has not identified any State archives that will not be transferred to the SRO for permanent preservation.

5.6 Disposal Program Implemented

The Shire of Dundas has implemented the General Disposal Authority for Local Government Records and conducts a regular disposal program on an appropriate basis.

5.7 Authorisation for Disposal of Records

Before any temporary records are destroyed or State archives are transferred to the SRO, a list of those records due for destruction or transfer is reviewed by the CEO and authorised for destruction or transfer.

5.8 Identified Areas for Improvement

The Shire of Dundas currently has storing records which are past their retention date. The Shire is slowly sentencing these items for destruction or retention.

6 Principle Six: Compliance

Government organisations ensure their employees comply with the record keeping plan.

6.1 Staff Training, Information Sessions

The Shire of Dundas has implemented the following activities to ensure that all staff are aware of their recordkeeping responsibilities and compliance with the Recordkeeping Plan:

Table 6.1

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the Local Government’s recordkeeping program are conducted. These are delivered to all staff on a regular basis.	✓	
In-house recordkeeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a recordkeeping training session for staff. Staff are encouraged to attend training courses outside the organisation whenever available and practicable.	✓	
Staff information sessions are conducted on a regular basis for staff as required.	✓	
The Local Government provides brochures or newsletters to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Local Government’s Intranet is used to publish recordkeeping information, highlight issues, or bring particular recordkeeping matters to staff attention.	✓	
The Local Government’s Induction Program for new employees includes an introduction to the Local Government’s recordkeeping system and program, and information on their recordkeeping responsibilities.	✓	

Coverage of the training/information sessions extends to all staff. However, records management staff are offered more frequent and more specialised training as and when available and required.

6.2 Performance Indicators in Place

Performance indicators will be developed and monitored to measure the efficiency and effectiveness of the Shire of Dundas recordkeeping systems.

6.3 Agency’s Evaluation

The Shire aims for a culture of continuous improvement for Shire of Dundas Recordkeeping systems in the following areas:

- Correct Metadata usage
- Timeliness of records registration and filing
- Continual training of staff to ensure robust information management process.

6.4 Annual Report

An excerpt from the Shire of Dundas latest Annual Report is attached, demonstrating the organisation's compliance with the *State Records Act 2000*, its Recordkeeping Plan and the training provided for staff.

6.5 Identified Areas for Improvement

Development and implementation of performance indicators ensuring training is up kept and records systems are being used effectively.

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7 SRC Standard 6: Outsourced Functions

7.1 Outsourced Functions Identified

Refer to Appendix 1 for those functions outsourced.

7.2 Recordkeeping Issues included in Contracts

7.2.1 Planning

The Shire of Dundas includes the creation and management of proper and adequate records of the performance of the outsourced functions detailed above, in the contract planning process for the outsourced functions.

7.2.2 Ownership

The Shire of Dundas has ensured that the ownership of Local Government records is addressed and resolved during outsourcing exercises. Where possible this will be included in the signed contract(s) / agreement(s).

7.2.3 Control

The Shire of Dundas has ensured that the contractor(s) / agent(s) creates and controls records in electronic or hard copy format, in accordance with Recordkeeping standards, policies, procedures and guidelines stipulated by the Shire of Dundas.

7.2.4 Disposal

The disposal of all Local Government records which are the product of or are involved in any contract(s) / agreement(s) with the Shire of Dundas and contractor(s) / agent(s) will be disposed of in accordance with the General Disposal Authority for Local Government Records, produced by the State Records Office.

7.2.5 Access

Conditions for the provision of access to any Local Government records produced in the course of the contract(s) / agreement(s) have been agreed between the Shire of Dundas and the contractor(s) / agent(s).

7.2.6 Custody

Custody arrangements between the Shire of Dundas and the contractor(s) / agent(s) for Local Government records stored on and off site by the contractor(s) / agent(s) are specified in the contract(s) / agreement(s).

7.2.7 Contract Completion

All arrangements regarding record custody, ownership, disposal, and transfer upon the completion of the contract(s) / agreement(s) are specified in the contract(s) / agreement(s).

The Shire of Dundas requires as part of its Recordkeeping Policy and Procedures Manual that all new or renewed contracts/agreements for outsourced services are Standard Six Compliant.

7.3 Identified Areas for Improvement

Continuing to ensure custody of records are kept in the custody of the Shire of Dundas.

APPENDIX 1 - Functions of the Local Government

Function	Brief Description of LG Function	Performed by the LG Tick If Yes	Performed by an External Agency Tick If Yes
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.		✓
Community Relations	The function of establishing rapport with the community and raising and advancing the Council's public image and its relationships with outside bodies, including the media and the public.	✓	
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	✓	
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the LG's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG.	✓	
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the council.	✓	
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA).	✓	✓
Economic Development	The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.	✓	✓
Emergency Services	The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.	✓	✓
Energy Supply & Telecommunications	The function of providing infrastructure services, such as electricity, gas, telecommunications, and alternative energy sources.	✓	✓
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushlands and threatened species.	✓	✓
Financial Management	The function of managing the LG's financial resources.	✓	
Governance	The function of managing the election of Council representatives, the boundaries of the LG, and the terms and conditions for elected members.	✓	
Government Relations	The function of managing the relationship between the Council and other governments, particularly on issues which are not related to normal Council business such as Land Use and Planning or Environment Management.	✓	

APPENDIX 1 - Functions of the Local Government

Function	Brief Description of LG Function	Performed by the LG Tick If Yes	Performed by an External Agency Tick If Yes
Grants & Subsidies	The function of managing financial payments to the LG from the State and Federal Governments and other agencies for specific purposes.	✓	
Information Management	The function of managing the LG's information resources, including the storage, retrieval, archives, processing and communications of all information in any format.	✓	
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.	✓	✓
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	✓	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	✓	
Legal Services	The function of providing legal services to the LG.	✓	✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.	✓	
Personnel	The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.	✓	
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.	✓	
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	✓	✓
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	✓	
Recreation & Cultural Services	The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	✓	
Risk Management	The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.	✓	
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the LG area.	✓	
Sewerage & Drainage	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	✓	✓

✓

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Waste Management	The function of providing services by the LG to ratepayers for the removal of solid waste, destruction and waste reduction.	✓	
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers.	✓	✓

APPENDIX 2 - Legislation Regulations Local Laws administered by Local Government	
<i>Legislation, Regulations and Local Laws</i>	<i>Tick if the LG administers Yes</i>
Agriculture and Related Resources Protection Act 1976	✓
Building Regulations 1989	✓
Bush Fires Act 1954	✓
Bush Fire Regulations	✓
Caravan Parks and Camping Grounds Act 1995	✓
Caravan Parks and Camping Grounds Regulations 1997	✓
Disability Services Act 1993	✓
Dog Act 1976	✓
Dog Regulations	✓
Environmental Protection Act 1986	✓
Environmental Protection (Noise) Regulations 1997	✓
Explosive and Dangerous Goods Act 1961	✓
Freedom of Information Act 1992	✓
Freedom of Information Regulations 1993	✓
Hairdressing Establishment Regulations 1972	✓
Health Act 1911	✓
Health (Air Handling and Water Systems) Regulations 1994	✓
Health (Asbestos) Regulations 1992	✓
Health (ANZ Food Standards Code adoption) Regulations 2001	✓
Health Act (Carbon Monoxide) Regulations 1975	✓
Health (Cloth Materials) Regulations 1985	✓
Health (Food Hygiene) Regulations 1993	✓

APPENDIX 2 - Legislation Regulations Local Laws administered by Local Government	
<i>Legislation, Regulations and Local Laws</i>	<i>Tick if the LG administers Yes</i>
Health (Food Standards) (Administration) Regulations 1987	✓
Health (Garden Soil) Regulations 1998	✓
Health Act (Laundries and Bathrooms) Regulations	✓
Health (Meat Hygiene) Regulations 2001	✓
Health (Pesticides) Regulations 1956	✓
Health (Pet Meat) Regulations 1990	✓
Health (Poultry Manure) Regulations 2001	✓
Health (Public Buildings) Regulations 1992	✓
Health (Skin Penetration Procedure) Regulations 1998	✓
Health (Swimming Pools) Regulations 1964	✓
Health (Temporary Sanitary Conveniences) Regulations 1997	✓
Health (Treatment of Sewerage and Disposal of Effluent and Liquid Waste) Regulations 1974	✓
Heritage of Western Australia Act 1990	✓
Land Administration Act 1997	✓
Land Valuation Tribunals 1978	✓
Litter Act 1979	✓
Liquor Control Act 1988	✓
Local Government Act 1995	✓
Local Government (Miscellaneous Provisions) Act 1960	✓
Local Government Grants Act 1978	✓
Local Government Regulations	✓
Main Roads Act 1930	✓
Parks and Reserves Act 1895	✓
Planning and Development Act 2005	✓
Radiation Safety Act 1975	✓
Radiation Safety Regulations	✓

APPENDIX 2 - Legislation Regulations Local Laws administered by Local Government	
<i>Legislation, Regulations and Local Laws</i>	<i>Tick if the LG administers Yes</i>
Rates and Charges (Rebates and Deferments) Act 1992	✓
Rights in Water and Irrigation Act 1914	✓
Residential Design Codes of WA 2002	✓
Road Traffic Act 1974	✓
Strata Titles Act 1985	✓
Telecommunications Act (Commonwealth) 1997	✓
Telecommunications (Low Impact Facilities) Determination 1997	✓
Transfer of Land Act 1893	✓
Valuation of Land Act 1978	✓
Waterways Conservation Act 1976	✓
Local Laws of the Shire of Dundas	
Dog Local Law	✓
Activities on Thoroughfares and Trading in Thoroughfares and Public Places Local Law	✓
Standing Orders Local Law	✓
Cemeteries Local Law	✓
Local Government Property Law	✓
Local Law to Repeal Local Law	✓

APPENDIX 3 - Other Legislation and Regulations affecting Local Government	
<i>Other Legislation and Regulations</i>	<i>Tick If Yes</i>
Builders Registration Act 1939	✓
Criminal Code 1913	✓
Electronic Transactions Act 2003	✓
Equal Opportunity Act 1984	✓
Evidence Act 1906	✓
Freedom of Information Act 1992	✓
Industrial Awards	✓
Industrial Relations Acts (State and Federal)	✓
Interpretation Act 1984	✓
Limitation Act 1935, 2005	✓
Occupational Safety and Health Act 1984	✓
Occupational Safety & Health Regulations 1996	✓
Parliamentary Commissioner Act 1971	✓
State Records Act 2000	✓
State Records (Consequential Provisions) Act 2000	✓
State Records Commission Principles & Standards 2002	✓
Swan River Trust Act 1988	
Workers Compensation and Injury Management Act 1981	✓

APPENDIX 4 -Standards and Codes of Practice affecting Local Government	
<i>Government & Industry Standards and Codes of Practice</i>	Tick if Yes
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records RD 99004	✓
National Competition Policy	✓
Other: Please detail any additional items below	

APPENDIX 5 - Shire of Dundas - Record Keeping Procedures 2010	
Record Keeping Procedures	Reviewed 2017
Website Management	Reviewed 2017
Record Keeping Procedures	Review Presented to Council 2023
Website Management	Under review 2023

APPENDIX 6 - Shire of Dundas – Records Disaster Recovery Plan

Disaster Recovery Requirements - Assessment of Impacts of Disaster

Five major disastrous events have been identified that would impact the Shires Record Keeping System. These events have been ranked by the level of severity of the disaster should it occur, with level one being the highest and level five being the lowest. This section of the disaster recovery plan describes these five event levels.

Level 1: Shire of Dundas Administration Centre Compromised

The total compromise of the Shires Administration Centre due to a major event such as fire, flood, earthquake or bombing and although highly unlikely, is a risk for the Shire. The compromise of the Administration Centre has been categorised as a level one event and would have an extreme impact on nearly all areas of operation within the Shire. The required recovery for an event of this magnitude would possibly need to include alternative accommodation, furniture, office equipment, information technology infrastructure and additional staffing, as well as the recovery of the Shires Record Keeping System.

Due to the wide ranging impact of a level one event, recovery from such a disaster is well beyond the scope of this disaster recovery plan. Such a recovery strategy for this level event will be considered by the Senior Staff and Council.

Level 2: Failure of Computing Systems

The failure of computing hardware or software that stores electronic records and provides access to paper-based records, due to an event such as hardware failure, theft, malicious damage, software corruption, fire, or water damage has been categorised as a level 2 event.

Required Recovery Time: 1-2 Weeks

Level 3: Fire Damage to Records Storage Areas

The destruction of paper records stored in record storage areas due to fire has been categorised as a level 3 event. The salvage and reconstruction of paper records from a fire is often impossible and thus recovery may never be possible for non-vital records that have not been duplicated and stored in an alternative location.

Contact the State Records Office for further advice

Required Recovery Time (Vital Records): 2 Weeks

Required Recovery Time (Other Records): 1 Month to Never

Level 4: Water Damage to Records Storage Areas

The destruction of paper records stored in record storage areas due to water damage from storm, flood or fire sprinklers has been categorised as a level 4 event. The salvage and reconstruction of paper records from water damage is an expensive and time-consuming task. The recovery of badly damaged non-vital records may not be economically viable.

Required Recovery Time (Vital Records): 2 Weeks

Required Recovery Time (Other Records): 1 Month to Never

Level 5: Loss or Destruction of Loaned Files

The accidental loss or malicious destruction of paper records while on loan to members of staff has been categorised as a level 5 event. The recovery of records will not be possible for non-vital records that have not been duplicated and stored in an alternative location.

Advise the State Records Office of the loss.

Required Recovery Time (Vital Records): 1 Week

Required Recovery Time (Other Records): Never

Disaster Counter Measures - Strategies for Prevention and Response

The Shire will develop and implement counter measures to ensure the protection of the Shires Record Keeping System, as detailed below. Some of these measures are preventative in nature (to avoid a disaster from occurring in the first instance), and others will aid in the recovery of the system should a disaster occur.

Logical Security

Access to the Shires Record Keeping System by staff is through secure network authentication processes and the use of personal usernames and passwords. Access privileges in the system will be limited to required modules and functions only and activities will be logged in a secure audit log where possible. Direct computer access to the Record Keeping System database will be restricted at all times to computing staff only. A secure password will be maintained for any system administrator accounts. A firewall will be maintained on the network to secure the network from external attacks.

Physical Security

The Shires Administration Centre is of framed light weight construction and is in the Norseman Town Centre. Access to the Administration Centre is using a keyed access door. Security lighting is installed at key entry points. The building is protected by a security system with a 24-hour monitored alarm. If the alarm is activated, the Shires security company will typically respond within 1 to 5 minutes by notifying the Police and CEO or delegated Senior Officers.

Access to the Shires server room is uncontrolled however not accessible by the public. Access to onsite records storage areas is uncontrolled however not accessible by the public. Access to records held offsite is controlled by Records staff only.

Environmental Controls

The physical environment in the Shires server room is protected to meet the following minimum requirements:

- Air-conditioning system ($21^{\circ}\text{C} \pm 3^{\circ}\text{C}$);
- Un-interruptible Power Supply (UPS)
- Power surge protector.

The physical environment in the Shires record storage areas (onsite and intermediate) is protected and monitored to meet the following minimum requirements:

- Air-conditioning system ($21^{\circ}\text{C} \pm 3^{\circ}\text{C}$);
- Fire Isolated wall construction

The environmental conditions of onsite and intermediate paper based record storage areas will be monitored and reviewed regularly by Records Staff. The environmental conditions of offsite paper based record storage areas will be regularly monitored by the Records Staff annually.

Duplication of Electronic Records:

All electronic documents stored in the Shires Record Keeping System are backed up on a daily basis. The backup tapes are currently stored in a fireproof safe in the Administration Office.

Disaster Recovery Strategy

Upon the discovery of a disaster affecting the Shires Record Keeping System, the CEO should be immediately contacted.

The following steps should be followed:

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- Evaluate the extent of damage to the Record Keeping System
- Assemble appropriate staff to discuss the continuity plan.
- Notify all staff of system unavailability.
- Determine recovery tasks required.
- Notify all staff of recovery strategy and estimated time frame for recovery.
- Implement appropriate recovery operations

During recovery operations the recovery team will meet regularly, and all communication should be channelled through the Manager of Corporate and Community Services. At the completion of the recovery strategy a debriefing will be held and a full report produced detailing the recovery operations and any recommendations regarding improvements to the disaster recovery plan.

Level 2: Failure of Computing Systems:

In the event of failure of computing systems, the MCCS will request the Information Technology Service provider to implement appropriate recovery operations which may include the purchase, installation and configuration of replacement equipment and the retrieval and loading of backup data.

Level 3: Fire Damage to Records Storage Areas:

In the event of fire in a records storage area the MCCS will do the following:

- Stabilise affected record storage areas.
- Assess damaged records for restoration.
- Contact a restoration services company.
- Transfer damaged records requiring repair to a restoration facility.
- Request retrieval of electronic records from onsite storage.
- Prepare a listing of any records that are unrecoverable.

Level 4: Water Damage to Records Storage Areas:

In the event of water damage in a records storage area the MCCS follow the same steps as detailed above for Level 3.

Level 5: Loss or Destruction of Loaned Files:

In the event of the loss or unauthorised destruction of loaned physical files, the MCCS will do the following:

- Request retrieval of any electronic copies.
- Arrange duplication of electronic copies.
- Replace lost records with duplicates.
- Prepare a listing of any records that are unrecoverable.
- Return to Normal Operating Mode

Once all the essential recovery activities are completed, the steps below should be followed to return the RKS to normal operating mode:

- Notify all staff of system availability.
- Load document data generated during system downtime.
- Process documents received during system downtime into the Record Keeping System

Disaster Recovery Responsibilities

The following positions will be responsible for various activities that must be performed as part of the Records Keeping System disaster recovery plan. The table below details the officers responsible for undertaking the activity and the frequency with which the activity should be performed.

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Activity	Unit	Position	Frequency
Maintain Security & Integrity of Computer Systems	Administration Services	Information & Technology Officer. IT Service Provider	Continual
Create & Store Electronic Backups	Administration Services	Information & Technology Officer. IT Service Provider	Daily
Maintain Building Security	Development Services	Manager of Works & Services Services	Continual
Create & Store Security Copies of Vital Records	Administration Services	Information & Technology Officer	Quarterly
Review Environmental Conditions of on and off site Records Storage Areas	Administration Services	Information & Technology Officer	Annually
Reviewing Disaster Recovery Plan	Administration Services	CEO & Manager Corporate and Community Services	Annually
Conduct Staff Training & Testing of Disaster Recovery Plan	Administration Services	CEO & Manager Corporate and Community Services	Annually

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APPENDIX 7 - Shire of Dundas – Data Migration Policy

PURPOSE

The purpose of this policy is to ensure the ongoing management and preservation of the Shire of Dundas electronic records and outline processes that must be observed when data needs to be migrated.

POLICY STATEMENT

This policy applies to electronic information and records held in all corporate business systems, network drives and electronic storage devices and involves the recurrent transfer of electronic records from one hardware or software configuration or generation to subsequent configurations or generations.

The Shire will endeavour to ensure that:

- All records stored in electronic formats will be migrated through changes in the hardware and software environment so that the records retain their structure, content and context for the required retention periods.
- Links between electronic records and their associated metadata will be captured at the point of migration and be maintained and usable for the life of the records.
- Any migration process used for preserving electronic records will consider both long term accessibility and integrity of these records so that they are distinguishable as unique evidence of business transactions.
- Electronic records from old systems will be kept active until data in new systems has been fully validated.
- Integrity checks of electronic records will be carried out by extracting old and new databases and comparing data between the two data sets.
- Backups of electronic records from old systems will be kept until new systems have proven to be fully operational.
- Migration of all electronic data, including records of permanent value, will be in accordance with *Public Records Policy No 8 - Policy for the ongoing management of electronic records designated as having archival value*.

APPENDIX 8 - Shire of Dundas – Induction Checklist

Employees Name _____
 Position _____
 Department _____
 Supervisor _____
 Date Commenced _____

It may be evident that not all items will be applicable to a new employee. When the items which are applicable have been explained they should have a tick placed in the box. If not applicable then a dash should be shown.

Conditions of Employment		Standards in Workplace	
<i>General</i>		1. Personal Cleanliness & Safety	
1. Council Organisation		2. Standard of Dress	
2. Clarification of Duties		3. Smoking Regulations	
3. Performance Appraisal		4. House Keeping	
4. Medical Examination		5. General Behaviour	
<i>Time Keeping</i>			
1. Starting & Finishing Times		Safety & Accident Prevention	
2. Time Keeping		1. Council Safety	
3. Lunch Break		2. Personal Safety – Duty of Care	
4. Morning/Afternoon Tea Break		3. Protective Clothing & Equipment	
5. Late Arrival Procedure		4. Accident Procedures	
<i>Salary</i>		5. First Aid	
1. Rate of Pay		6. Treatment for Electric Shock	
2. Time & Method of Payment		7. Fire Prevention & Procedures	
3. Pay Location			
4. Allowances		Industrial Relations	
5. Deductions		1. Union	
6. Overtime		2. Grievance Procedure	
7. Benefits		3. Disciplinary Procedure	
8. Superannuation			
<i>Leave Entitlements</i>		Equal Opportunities	
1. Recreation Leave		1. Council Policy Statement	
2. Sick Leave		2. Council Management Plan	
3. Public Holidays		3. Processing of EEO Grievances	
4. Other Types of Leave			
		Introduction to the job	
Performance Review & Staff Development System		1. Tour of the Department	
1. Council Policy		2. Employees Workplace	
2. Performance Review/Staff Development System		3. Equipment & Machinery	
3. In-house Training		4. Records Management	
4. Further Education		5. Council Security	
		6. Confidentiality	
General Welfare		7. The Job Itself	
1. Canteen Facilities			
2. Locker & Toilet Facilities			
3. Car Park Facilities			
4. Public Transport			

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5. Telephone			
6. Social Activities			

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